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FEC FORM 3X

REPORT OF RECEIPTS AND DISBURSEMENTS

For Other Than An Authorized Committee Office Use Only 1. NAME OF **USE FEC MAILING LABEL** Example: If typing, type COMMITTEE (in full) OR TYPE OR PRINT over the lines Securities Industry and Financial Markets Association Political Action Committee 1101 New York Avenue, NW ADDRESS (number and street) 8th Floor Check if different than previously Washington DC 20005 reported. (ACC) FEC IDENTIFICATION NUMBER **STATE** ZIPCODE A CITY A IS THIS NEW **AMENDED** C00431312 Χ REPORT OR (N) (A) **TYPE OF REPORT** (b) Monthly Nov 20 (M11) Feb 20 (M2) May 20 (M5) Aug 20 (M8) (Non-Election Year Only) Report (Choose One) Due On: Dec 20 (M12) (Non-Election Year Only) Mar 20 (M3) Jun 20 (M6) Sep 20 (M9) (a) Quarterly Reports: Apr 20 (M4) Jul 20 (M7) Oct 20 (M10) Jan 31 (YE) April 15 Quarterly Report(Q1) 12-Day (c) Primary (12P) General (12G) Runoff (12R) July 15 PRE-Election Quarterly Report(Q2) Report for the: Convention (12C) Special (12G) October 15 Quarterly Report(Q3) January 31 Quarterly Report(YE) in the Election on State of July 31 Mid-Year (d) 30-Day Report(Non-election Year Only) (MY) Runoff (30R) Post -Election General (30G) Special (30S) Report for the: Termination Report (TER) in the Election on State of 08 0 1 2011 8 0 3 1 2011 through Covering Period I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete. Mr. Kenneth E. Bentsen, Jr. Type or Print Name of Treasurer Electronically Filed by Mr. Kenneth E. Bentsen, Jr. 09 20 2011 Signature of Treasurer Date NOTE: Submission of false, erroneous, or incomplete information may subject the person signing this Report to the penalties of 2 U.S.C 437g. Office **FEC FORM 3X** Use (Rev. 12/2004) Only

FE6AN026

SUMMARY PAGE

OF RECEIPTS AND DISBURSEMENTS
Page 2

Write or Type Committee Name

FEC Form 3X (Rev. 02/2003)

Securities Industry and Financial Markets Association Political Action Committee

D D " D 0 1 3 1 08 2011 0 8 2011 From: Report Covering the Period: To: **COLUMN A COLUMN B This Period** Calendar Year-to-Date (a) Cash on Hand 2011[°] 256466.58 January 1 (b) Cash on Hand at 238778.14 Begining of Reporting Period 13226.05 132377.76 (c) Total Receipts (from Line 19) (d) Subtotal (add lines 6(b) and 6(c) for Column A and Lines 252004.19 388844.34 6(a) and 6(c) for Column B) 3571.61 140411.76 Total Disbursements (from Line 31) Cash on Hand at Close of Reporting Period 248432.58 248432.58 (subtract Line 7 from Line 6(d)) 9. Debts and Obligations owed the committee (Itemize all on 0.00 Schedule C and/or Schedule D) 10. Debts and Obligations owed the committee (Itemize all on 0.00 Schedule C and/or Schedule D)

X This Committee has qualified as a multicandidate committee. (see FEC FORM 1M)

For further information contact:

Federal Election Commission 999 E street, NW Washington, DC 20463

Toll Free 800-424-9530 Local 202-694-1100

DETAILED SUMMARY PAGE OF RECEIPTS

FEC Form 3X (Rev. 06/2004) Page 3

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

	Total This Period	Calendar Year-to-Date
11. Contributions (other than loans) From:(a) Individuals/Persons Other		
Than Political Committees (i) Itemized (use Schedule A)	11665.84	89158.41
(ii) Unitemized	1488.60	6546.50
(iii) TOTAL (add Lines 11(a)(i) and (ii)	13154.44	95704.91
(b) Political Party Committees	0.00	0.00
(c) Other Political Committees (such as PACs)	0.00	30500.00
11(a)(iii),(b) and (c)) (Carry Totals to Line 33, page 5)	13154.44	126204.91
12. Transfers From Affiliated/Other Party Committees	0.00	0.00
13. All Loans Received	0.00	0.00
14. Loan Repayments Received15. Offsets To Operating Expenditures	0.00	0.00
(Refunds, Rebates, etc.) (Carry Totals to Line 37, page 5)	0.00	1020.60
to Federal candidates and Other Political Committees	0.00	5000.00
17. Other Federal Receipts (Dividends, Interest, etc.)	71.61	152.25
18. Transfers from Non-Federal and Levin Funds		
(a) Non-Federal Account (from Schedule H3)	0.00	0.00
(b) Levin Funds (from Schedule H5)	0.00	0.00
(c) Total Transfer (add 18(a) and 18(b)).	0.00	0.00
19. Total Receipts (add Lines 11(d), 12, 13, 14, 15, 16, 17, and 18(c))	13226.05	132377.76
20. Total Federal Receipts (subtract Line 18(c) from Line 19)	13226.05	132377.76

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DETAILED SUMMARY PAGE

of Disbursements

FEC Form 3X (Rev. 02/2003) Page 4

II	. DISBURSEMENTS	COLUMN A	COLUMN B
	ating Expenditures:	Total This Period	Calendar Year-to-Date
(a) S	Shared Federal/Non-Federal		
	Activity (from Schedule H4)	0.00	0.00
(i) Federal Share		
(ii) Non-Federal Share	0.00	0.00
(b) (Other Federal Operating	71.01	1170.05
	Expenditures	71.61	1172.85
	Total Operating Expenditures add 21(a)(i), (a)(ii) and (b))	71.61	1172.85
	fers to Affiliated/Other Party	,,,,,,	1172.00
	nittees	0.00	0.00
	ibutions to ral Candidates/Committees	0500.00	10000000
	Other Political Committeesendent Expenditure	3500.00	139000.00
	Schedule E)	0.00	0.00
Coord	linated Expenditures Made by Party		
(use S	nittees (2 U.S.C. 441a(d)) Schedule F)	0.00	0.00
6 Loan	Repayments Made	0.00	0.00
.o. Luaii	repayments made		
	s Made	0.00	0.00
(a) I	nds of Contributions To: ndividuals/Persons Other	0.00	0.00
\-7	Than Political Committees	0.00	0.00
(b) I	Political Party Committees	0.00	0.00
` '	Other Political Committees		0.00
	such as PACs)	0.00	0.00
` '	Total Contribution Refunds add Lines 28(a), (b), and (c))	0.00	0.00
(20(a), (b), and (c))		
9. Other	Disbursements	0.00	238.91
n Eada	ral Election Activity (2 U.S.C 431(20))		
	Chared Federal Election Activity		
. ,	rom Schedule H6)	2.22	
(i) Federal Share	0.00	0.00
	(ii) III o da II Obaya	0.00	0.00
	(ii) "Levin" Share		3.00
` '	Federal Election Activity Paid Entirely Vith Federal Funds	0.00	0.00
	Total Federal Election Activity (add	0.00	
(0)	Lines 30(a)(i), 30(a)(ii) and 30(b))	0.00	0.00
31. Tota	I Disbursements (add Lines 21(c), 22,	2=-1.21	
23, 2	24, 25, 26, 27, 28(d), 29 and 30(c))	3571.61	140411.76
00 T-1	J. Fadaval Diahuraamant-		
	al Federal Disbursements tract Line 21(a)(ii) and Line 30(a)(ii)		
	Line 31)	3571.61	140411.76
		307.1.01	1.01.1170

DETAILED SUMMARY PAGE

of Disbursements

FEC Form 3X (Rev. 02/2003) Page 5

	III. Net Contributions/Operating Expenditures	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
33.	Total Contributions (other than loans) from Line 11(d), page 3)	13154.44	126204.91
34.	Total Contribution Refunds (from Line 28(d))	0.00	0.00
35.	Net Contributions (other than loans) (subtract Line 34 from Line 33)	13154.44	126204.91
36.	Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b))	71.61	1172.85
37.	Offsets to Operating Expenditures (from Line 15, page 3)	0.00	1020.60
38.	Net Operating Expenditures (subtract Line 37 from Line 36)	71.61	152.25

FE6AN026

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 6 / 22 (check only one) X 11a 11b 11c 12 13 14 15 16 1
Any information copied from such Reports and or for commercial purposes, other than using the NAME OF COMMITTEE (In Full) Securities Industry and Financial Mar			
Securities industry and i mancial war	TROIS ASSOCIA	tion i ontical Action Commit	
Full Name (Last, First, Middle Initial) Mr. Tom Sagissor Mailing Address 332 Melville Ct, N.			Date of Receipt
			08 02 2011
City <u>St</u> illwater	State MN	Zip Code 55082-3929	Transaction ID: 19284541
FEC ID number of contributing federal political committee.	C	33062-3929	Amount of Each Receipt this Period 500.00
Name of Employer RBC Wealth Management	Occupation Regional	n Director - Midwest	
Receipt For: Primary General Other (specify) ▼	Aggregate	Year-to-Date ▼ 500.00	Contribution
Full Name (Last, First, Middle Initial) Kerry Withrow			Date of Receipt
Mailing Address 8195 Cassian Court			08 01 Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
City	State	Zip Code	Transaction ID: 19284835
Las Vegas	NV	89129-4817	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	С		250.00
Name of Employer RBC Wealth Management	Occupation Branch D	Director	
Receipt For: Primary General Other (specify) ▼	Aggregate	e Year-to-Date ▼ 250.00	Contribution
Full Name (Last, First, Middle Initial) Mr. Edward K. Heyes			Date of Receipt
Mailing Address 9 Breyerwood Court			0 8 0 2 2 0 1 1
City	State	Zip Code	Transaction ID: 19286864
Hortonville	WI	54944-9421	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C		250.00
Name of Employer RBC Wealth Management	Occupation Branch D	n Director and SVP	
Receipt For: Primary General Other (specify) ▼	Aggregate	Year-to-Date ▼ 250.00	Contribution
SUBTOTAL of Receipts This Page (optional) .	•		1000.00

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 7 / 22 (check only one) X
NAME OF COMMITTEE (In Full)	Statements may not be sold or used by any person ename and address of any political committee to	
Securities industry and Financial Mar	kets Association Political Action Committee	le e
Full Name (Last, First, Middle Initial) Ms. Kathy A. Gremillion		Date of Receipt
Mailing Address 4900 Emerson Avenu	e South	08 04 2011
City	State Zip Code	Transaction ID: 19304992
<u>Minneapolis</u>	MN 55419-5334	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	250.00
Name of Employer RBC Wealth Management	Occupation Managing Director	
Receipt For:	Aggregate Year-to-Date ▼	
Primary General Other (specify) ▼	250.00	Contribution
Full Name (Last, First, Middle Initial) Scott Ceniccola		Date of Receipt
Mailing Address 25 Austin Court		0 8 0 4 Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
City	State Zip Code	Transaction ID: 19304993
Mount Laurel	NJ 08054-4839	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	250.00
Name of Employer RBC Wealth Management	Occupation Sr. Managing Director, Complex Dire	oct o
Receipt For:	Aggregate Year-to-Date ▼	
Primary General Other (specify) ▼	250.00	Contribution
Full Name (Last, First, Middle Initial) Mr. Gary Hoebelheinrich		Date of Receipt
Mailing Address 5330 Fairdale Road		M M / D D / Y Y Y Y Y O D O O O O O O O O O O O O O
City	State Zip Code	Transaction ID: 19304994
Lincoln	NE 68510-2026	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	250.00
Name of Employer RBC Wealth Management	Occupation Senior Vice President	
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	Contribution
	1	

	SCHEDULE A (FEC Form 3X) TEMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 8 / 22 (check only one) X 11a 11b 11c 12 13 14 15 16 17
	Any information copied from such Reports and Sor for commercial purposes, other than using the	Statements ma e name and ad	y not be sold or used by any perso dress of any political committee to	on for the purpose of soliciting contributions o solicit contributions from such committee.
	NAME OF COMMITTEE (In Full) Securities Industry and Financial Marl	kets Associa	tion Political Action Commit	tee
∠ A .	Full Name (Last, First, Middle Initial) Mr. Matthew M. Boardman			Date of Receipt
	Mailing Address 650 From Road			08 / 04 / 2011
	City <u>Paramus</u>	State NJ	Zip Code 07652-3517	Transaction ID: 19334324
	FEC ID number of contributing federal political committee.	C	07032-3317	Amount of Each Receipt this Period 500.00
	Name of Employer RBC Wealth Management	Occupation Managin	on g Director - Head of Fixed In	
	Receipt For: Primary General Other (specify) ▼	, ' 	e Year-to-Date ▼ 500.00	Contribution
- В.	Full Name (Last, First, Middle Initial) Kent Christian			Date of Receipt
	Mailing Address 600 S Warson Road			0 8 1 1 2 0 1 1
	City	State	Zip Code	Transaction ID: 19334326
	Saint Louis	MO	63124-1255	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	С		5000.00
	Name of Employer Wells Fargo Advisors	Occupation Presiden		
	Receipt For: Primary General Other (specify) ▼	Aggregate	e Year-to-Date ▼ 5000.00	Contribution
- С.	Full Name (Last, First, Middle Initial) Mr. Bradley Angell			Date of Receipt
	Mailing Address 327 N. 54th Ave, W #	3		M M / D D / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
	City	State	Zip Code	Transaction ID: 19334335
	Duluth FEC ID number of contributing federal political committee.	C	55807-2665	Amount of Each Receipt this Period 250.00
	Name of Employer RBC Wealth Management	Occupation	on c Director	
	Receipt For: Primary General Other (specify) ▼	1 1	e Year-to-Date ▼ 250.00	Contribution
	SUBTOTAL of Receipts This Page (optional)	1		5750.00
_	SUBTOTAL of Receipts This Page (optional) TOTAL This Period (last page this line number		<u> </u>	5750.00

	SCHEDULE A (FEC Form 3X) FEMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 9 / 22 (check only one) X
A C	Any information copied from such Reports and Sor for commercial purposes, other than using the	Statements may e name and add	y not be sold or used by any perso dress of any political committee to	on for the purpose of soliciting contributions o solicit contributions from such committee.
	NAME OF COMMITTEE (In Full) Securities Industry and Financial Mar	kets Associa	tion Political Action Commit	tee
	Full Name (Last, First, Middle Initial) Ms. Ann Senne			Date of Receipt
	Mailing Address 19068 Inndale Drive			08 12 2011
	City Lakeville	State MN	Zip Code 55044-4414	Transaction ID: 19334336 Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C		250.00
	Name of Employer RBC Wealth Management	Occupatio	n g Director	
	Receipt For: Primary General Other (specify) ▼	, i	e Year-to-Date ▼ 250.00	Contribution
	Full Name (Last, First, Middle Initial) Mr. Karl I. Riner			Date of Receipt
	Mailing Address 88 Oakland Place			0 8 2 6 2 0 1 1
	City	State	Zip Code	Transaction ID: 19334339
	Buffalo	NY	14222-2030	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C		500.00
	Name of Employer RBC Wealth Management	Occupatio Senior M	n Ianaging Director	
	Receipt For:	Aggregate	e Year-to-Date ▼	
	Primary General Other (specify) ▼		500.00	Contribution
_	Full Name (Last, First, Middle Initial) Mr. Michael Owen			Date of Receipt
	Mailing Address 320 Meadowlark Lane)		0 8 2 6 2 0 1 1
	City	State	Zip Code	Transaction ID: 19334341
	Mocksville	NC	27028-4974	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C		500.00
	Name of Employer Scott & Stringfellow, Inc.		aging Director	
	Receipt For: Primary General Other (specify) ▼	Aggregate	e Year-to-Date ▼ 500.00	Contribution
	SUBTOTAL of Receipts This Page (optional) .	•		1250.00

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS)	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 10 / 22 (check only one) X
Any information copied from such Reports and or for commercial purposes, other than using the NAME OF COMMITTEE (In Full)			
Securities Industry and Financial Ma	irkets Associat	ion Political Action Commit	iee
Full Name (Last, First, Middle Initial) Mr. Darryl Traweek			Date of Receipt
Mailing Address 3016-B Mid Lane			08 30 2011
City Houston	State TX	Zip Code 77027-5638	Transaction ID: 19334350
FEC ID number of contributing federal political committee.	C	11021-3030	Amount of Each Receipt this Period 1000.00
Name of Employer RBC Wealth Management	Occupation Senior Vi	n ce President - Regional Dire	<u> </u>
Receipt For: Primary General Other (specify) ▼	Aggregate	Year-to-Date ▼ 1000.00	Contribution
Full Name (Last, First, Middle Initial) Ms. Amy D. Sturtevant			Date of Receipt
Mailing Address 5705 Ogden Road			08 / 30 / 2011
City	State	Zip Code	Transaction ID: 19334351
Bethesda	MD	20816-1260	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C		250.00
Name of Employer RBC Wealth Management	Occupation Branch D		
Receipt For:	Aggregate	Year-to-Date ▼	
Primary General Other (specify) ▼		250.00	Contribution
Full Name (Last, First, Middle Initial) Douglas E. Artus	•		Date of Receipt
Mailing Address 1450 N. Dearborn St Coach House	reet		08 30 YYYYY 2011
City	State	Zip Code	Transaction ID: 19344173
Chicago	<u>IL</u>	60610-1576	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C		250.00
Name of Employer RBC Wealth Management	Occupation Complex		
Receipt For: Primary General Other (specify) ▼	Aggregate	Year-to-Date ▼ 250.00	Contribution
	•		1500.00

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 11 / 22 (check only one) X 11a 11b 11c 12 13 14 15 16 1
Any information copied from such Reports and sor for commercial purposes, other than using the NAME OF COMMITTEE (In Full) Securities Industry and Financial Mar	Statements may not be sold or used by any perse name and address of any political committee to the Association Political Action Commit	o solicit contributions from such committee.
Full Name (Last, First, Middle Initial) Mr. Thomas F Price Mailing Address 120 Broadway 35th Floor City New York FEC ID number of contributing federal political committee. Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify)	State Zip Code NY 10271-3599 C Occupation Managing Director Aggregate Year-to-Date 616.00	Date of Receipt M M D D Y Y Y Y Y Y Y Y
Full Name (Last, First, Middle Initial) Ms. Lisa Bleier Mailing Address 1101 New York Ave, I 8th Floor City Washington FEC ID number of contributing federal political committee. Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify)		Date of Receipt M M D D Y Y Y Y Y Y Y Y
Full Name (Last, First, Middle Initial) Ms. Bradley Gaskins Edgell Mailing Address 1101 New York Ave, I 8th Floor City Washington FEC ID number of contributing federal political committee. Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify)	State Zip Code DC 20005-4269 C Occupation Managing Director Aggregate Year-to-Date 500.50	Date of Receipt M M
SUBTOTAL of Receipts This Page (optional) .		96.23

SCHEDULE A (FEC For ITEMIZED RECEIPTS Any information copied from such Bei	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 12 / 22 (check only one) X 11a 11b 11c 12 13 14 15 16 17 On for the purpose of soliciting contributions
or for commercial purposes, other that NAME OF COMMITTEE (In Full)	n using the name and address of any political committee to	o solicit contributions from such committee.
Full Name (Last, First, Middle Initia Mr. Kenneth E. Bentsen, Jr. Mailing Address 1101 New Yo	<u> </u>	Date of Receipt
8th Floor	·	08 12 2011
City	State Zip Code	Transaction ID: 19346243
Washington FEC ID number of contributing federal political committee.	DC 20005-4269	Amount of Each Receipt this Period 192.35
Name of Employer Securities Industry and Financial Mark Receipt For: ☐ Primary ☐ General ☐ Other (specify) ▼	Occupation EVP, Public Policy and Advocacy Aggregate Year-to-Date ▼ 3077.60	
Full Name (Last, First, Middle Initia Ms. Lisa Fues Mailing Address 1101 New Yo	<u></u>	Date of Receipt
8th Floor	7'. 0.1	08 12 2011
City Washington	State Zip Code DC 20005-4269	Transaction ID: 19346244 Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	19.23
Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify) ▼	Occupation Vice President Aggregate Year-to-Date ▼ 249.99	
Full Name (Last, First, Middle Initia Ms Kim Chamberlain Mailing Address 120 Broadwa	<u> </u>	Date of Receipt
35th Floor		08 12 2011
City New York	State Zip Code NY 10271-3599	Transaction ID: 19346245
FEC ID number of contributing federal political committee.	C	Amount of Each Receipt this Period 38.50
Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify) ▼	Occupation Managing Director & Counsel, State Aggregate Year-to-Date ▼ 462.00	Gov
SUBTOTAL of Receipts This Page (optional)	250.08

SCHEDULE A (FEC Form 3X ITEMIZED RECEIPTS	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 13 / 22 (check only one) X
or for commercial purposes, other than using NAME OF COMMITTEE (In Full)	d Statements may not be sold or used by any personant the name and address of any political committee to	o solicit contributions from such committee.
	arkets Association Political Action Commit	tee
Full Name (Last, First, Middle Initial) Marin E. Gibson Mailing Address 120 Broadway		Date of Receipt
35th Floor	75 0.4	08 12 2011
City New York	State Zip Code NY 10271-3599	Transaction ID: 19346246 Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	69.23
Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify) ▼	Occupation Managing Director & Counsel Aggregate Year-to-Date 1107.68	
Full Name (Last, First, Middle Initial) Mr. Carter McDowell		Date of Receipt
Mailing Address 1101 New York Ave 8th Floor	, NW	M M / D D / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
City	State Zip Code	Transaction ID: 19346247
Washington FEC ID number of contributing federal political committee.	DC 20005-4269	Amount of Each Receipt this Period
Name of Employer Securities Industry and Financial Mark	Occupation Senior Managing Director	
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 1600.00	
Full Name (Last, First, Middle Initial) Ms. Kyle Brandon		Date of Receipt
Mailing Address 120 Broadway 35th Floor		M M / D D / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
City	State Zip Code	Transaction ID: 19346248
New York FEC ID number of contributing federal political committee.	NY 10271-3599	Amount of Each Receipt this Period 77.00
Name of Employer Securities Industry and Financial Mark	Occupation Managing Director, DOR	
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 770.00	
	1	246.23

Any information copied from such Reports a or for commercial purposes, other than using NAME OF COMMITTEE (In Full)	10	13 14 15 16 17
' '	g the name and address of any political committee to	solicit contributions from such committee.
Securities Industry and Financial N	Markets Association Political Action Committe	ee
Full Name (Last, First, Middle Initial) Ms. Cheryl Crispen		Date of Receipt
Mailing Address 1101 New York Av	e, NW	0 8 1 2 2 0 1 1
City	State Zip Code	Transaction ID: 19346250
Washington	DC 20005-4213	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	96.15
Name of Employer Securities Industry and Financial Mark	Occupation Executive Vice President, Communication	atio
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 1538.40	
Full Name (Last, First, Middle Initial) Mr. James McHale		Date of Receipt
Mailing Address 1101 New York Av 8th Floor	e, NW	M M / D D / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
City	State Zip Code	Transaction ID: 19346252
Washington	DC 20005-4269	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	19.23
Name of Employer Securities Industry and Financial Mark	Occupation Managing Director, Associate Genera	T I C
Receipt For:	Aggregate Year-to-Date ▼	
Primary General Other (specify) ▼	249.99	
Full Name (Last, First, Middle Initial) Mr. Thomas F Price		Date of Receipt
Mailing Address 120 Broadway 35th Floor		0 8 2 6 Y Y Y Y Y Y
City	State Zip Code	Transaction ID: 19346255
New York	NY 10271-3599	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	38.50
Name of Employer Securities Industry and Financial Mark	Occupation Managing Director	
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 654.50	
SUBTOTAL of Receipts This Page (option	al)	153.88

SCHEDULE A (FEC Form 3) ITEMIZED RECEIPTS	for e	separate schedule(s) ach category of the iled Summary Page	FOR LINE NUMBER: PAGE 15 / 22 (check only one) X
Any information copied from such Reports ar or for commercial purposes, other than using NAME OF COMMITTEE (In Full) Securities Industry and Financial M	the name and address of	any political committee to	solicit contributions from such committee.
Full Name (Last, First, Middle Initial) Ms. Lisa Bleier Mailing Address 1101 New York Ave	e, NW		Date of Receipt M M / D D / Y Y Y Y Y Y Y Y Y
City Washington FEC ID number of contributing federal political committee.		O Code 005-4269	Transaction ID: 19346256 Amount of Each Receipt this Period 19.23
Name of Employer Securities Industry and Financial Mark Receipt For: ☐ Primary ☐ General ☐ Other (specify) ▼	Occupation Managing Direct Aggregate Year-to]
Full Name (Last, First, Middle Initial) Ms. Bradley Gaskins Edgell Mailing Address 1101 New York Ave 8th Floor City		Code	Date of Receipt M M 2 6 2 0 1 1
Washington FEC ID number of contributing federal political committee.	· ·	005-4269	Amount of Each Receipt this Period 38.50
Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify) ▼	Occupation Managing Direct Aggregate Year-to		
Full Name (Last, First, Middle Initial) Mr. Kenneth E. Bentsen, Jr. Mailing Address 1101 New York Ave	e, NW		Date of Receipt
8th Floor City	State Zip	Code	0 8 2 6 2 0 1 1 Transaction ID: 19346258
Washington FEC ID number of contributing federal political committee.	DC 20	005-4269	Amount of Each Receipt this Period 192.35
Name of Employer Securities Industry and Financial Mark Receipt For: Primary General	Occupation EVP, Public Pol Aggregate Year-to	icy and Advocacy -Date ▼ 3269.95	1
Other (specify) ▼ SUBTOTAL of Receipts This Page (optional))	0 0 0 0 0	250.08

SCHEDULE A (FEC Form 3X ITEMIZED RECEIPTS	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 16 / 22 (check only one) X 11a 11b 11c 12
Any information copied from such Reports and or for commercial purposes, other than using the such as	Statements may not be sold or used by any phane and address of any political committed	erson for the purpose of soliciting contributions e to solicit contributions from such committee.
NAME OF COMMITTEE (In Full) Securities Industry and Financial Ma	arkets Association Political Action Comr	nittee
Full Name (Last, First, Middle Initial) Ms. Lisa Fues		Date of Receipt
Mailing Address 1101 New York Ave, 8th Floor	NW	0 8 2 6 2 0 1 1
City	State Zip Code	Transaction ID: 19346259
Washington	DC 20005-4269	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	19.23
Name of Employer Securities Industry and	Occupation Vice President	
Financial Mark Receipt For:	Vice President Aggregate Year-to-Date ▼	
Primary General Other (specify) ▼	269.22	
Full Name (Last, First, Middle Initial) Ms Kim Chamberlain	1	Date of Receipt
Mailing Address 120 Broadway 35th Floor		08 26 2011
City	State Zip Code	Transaction ID: 19346260
New York	NY 10271-3599	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	38.50
Name of Employer Securities Industry and Financial Mark	Occupation Managing Director & Counsel, Sta	ite Gov
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 500.50	
Full Name (Last, First, Middle Initial) Marin E. Gibson		Date of Receipt
Mailing Address 120 Broadway 35th Floor		08 26 2011
City	State Zip Code	Transaction ID: 19346261
New York	NY 10271-3599	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	69.23
Name of Employer Securities Industry and Financial Mark	Occupation Managing Director & Counsel	
Receipt For:	Aggregate Year-to-Date ▼	
Primary General Other (specify) ▼	1176.91	
SUBTOTAL of Receipts This Page (optional)	<u> </u>	126.96

TOTAL This Period (last page this line number only)

State Zip Code Washington FEC ID number of contributing idederal political committee. Receipt For: Primary General Other (specify) ▼ FUII Name (Last, First, Middle Initial) Mr. James McHale Malling Address 1101 New York Ave, NW 8th Floor City State Zip Code Washington PEC ID number of contributing idederal political committee. C Date of Receipt Transaction ID: 19346263 Amount of Each Receipt this Period Date of Receipt Transaction ID: 19346263 Amount of Each Receipt this Period Date of Receipt Transaction ID: 19346263 Amount of Each Receipt this Period Date of Receipt Transaction ID: 19346263 Amount of Each Receipt this Period Date of Receipt Transaction ID: 19346263 Amount of Each Receipt this Period Date of Receipt Transaction ID: 19346263 Transaction ID: 19346263 Amount of Each Receipt this Period Date of Receipt Transaction ID: 19346263 Transaction ID: 19346263 Transaction ID: 19346263 Transaction ID: 19346264 Transaction ID: 19346264 Transaction ID: 19346263 Transaction ID: 19346263 Transaction ID: 19346263 Transaction ID: 19346264 Transaction ID: 19346264 Transaction ID: 19346264 Transaction ID: 19346263 Transaction ID: 19346264 Transaction ID: 19346263 Transaction ID: 19346264 Transaction ID: 19346263 Transaction ID: 19346263 Transaction ID: 19346264 Transaction ID: 19346264 Transaction ID: 19346264 Transaction ID: 19346263 Transaction ID: 19346263 Transaction ID: 19346263 Transaction ID: 19346264	SCHEDULE A (FEC Form 3) ITEMIZED RECEIPTS	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 17 / 22 (check only one) X 11a 11b 11c 12 13 14 15 16 17
Full Name (Last, First, Middle Initial) Mic Carter McDowell Mailing Address 1101 New York Ave, NW Bit Floor City Washington DC 20005-4269 FEC ID number of contributing federal political committee. Name of Employer Securities Middle Initial) Michanes Middle Initial Michanes Middle Midle Middle Initial Michanes Middle Middle Initial Michanes Middle Middle Initial Michanes Middle Mi	or for commercial purposes, other than using NAME OF COMMITTEE (In Full)	g the name and address of any political committee to	solicit contributions from such committee.
Mailing Address 1101 New York Ave, NW 8th Floor City	Full Name (Last, First, Middle Initial)	Markets Association Funda Action Committee	
Washington DC 20005-4269	Mailing Address 1101 New York Av 8th Floor		08 / 26 / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
FEC ID number of contributing tederal political committee. Name of Employer Securities Industry and Enancial Mark Receipt For: Other (specify) ▼ Occupation	-	•	
Self in Managing Director Receipt For: Primary General General General Trono.00	FEC ID number of contributing		Amount of Each Receipt this Period
Mailing Address 1101 New York Ave, NW 8th Floor City State Zip Code DC 20005-4269 FEC ID number of contributing federal political committee. Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify) ▼ City State Zip Code Transaction ID: 19346263 Amount of Each Receipt this Period Amanaging Director, Associate General Capture Securities Industry and Financial Mark Receipt For: Primary General Other (specify) ▼ Full Name (Last, First, Middle Initial) City State Zip Code Ny 10271-3599 Fill Name (Last, First, Middle Initial) City State Zip Code Ny 10271-3599 FEC ID number of contributing federal political committee. City State Zip Code Ny 10271-3599 FEC ID number of contributing federal political committee. City Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify) ▼ Aggregate Year-to-Date ▼ Occupation Managing Director, DOR Aggregate Year-to-Date ▼ Primary General Other (specify) ▼ Aggregate Year-to-Date ▼	Financial Mark Receipt For: Primary General	Senior Managing Director Aggregate Year-to-Date ▼ 1700.00	
Sth Floor City Washington FEC ID number of contributing federal political committee. Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify) ▼ FEC ID number of contributing federal political committee. C Cucupation Managing Director, Associate General Cocupation Managing Director, Associate General Cother (specify) ▼ Date of Receipt Transaction ID: 19346263 Amount of Each Receipt this Period Date of Receipt Malling Address 120 Broadway 35th Floor City State Zip Code NY 10271-3599 FEC ID number of contributing federal political committee. Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify) ▼ Aggregate Year-to-Date ▼ Transaction ID: 19346264 Amount of Each Receipt this Period Transaction ID: 19346264 Amount of Each Receipt this Period Aggregate Year-to-Date ▼ 77.00	Mr. James McHale	1	-
Washington DC 20005-4269 Amount of Each Receipt this Period FEC ID number of contributing federal political committee. Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify) ▼ Full Name (Last, First, Middle Initial) Ms. Kyle Brandon Mailing Address 120 Broadway 35th Floor City State Zip Code NY 10271-3599 FEC ID number of contributing federal political committee. Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify) ▼ Occupation Managing Director, Associate General Contribution Managing Director, DOR Primary General Other (specify) ▼ Occupation Managing Director, DOR Amount of Each Receipt this Period 77.00	8th Floor		08 26 2011
FEC ID number of contributing federal political committee. Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify) ▼ Full Name (Last, First, Middle Initial) Ms. Kyle Brandon Mailing Address 120 Broadway 35th Floor City State Zip Code NY 10271-3599 FEC ID number of contributing federal political committee. Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify) ▼ Occupation Managing Director, DOR Aggregate Year-to-Date ▼ Transaction ID: 19346264 Amount of Each Receipt this Period 77.00 Aggregate Year-to-Date ▼ Aggregate Year-to-Date ▼ Aggregate Year-to-Date ▼ Primary General Other (specify) ▼ Occupation Managing Director, DOR Aggregate Year-to-Date ▼	•	•	
Financial Mark Receipt For: Primary General Other (specify) ▼ Full Name (Last, First, Middle Initial) Ms. Kyle Brandon Mailing Address 120 Broadway 35th Floor City New York FEC ID number of contributing federal political committee. Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify) ▼ Aggregate Year-to-Date ▼ Date of Receipt M M M Z D Z D Z D 1 1 Transaction ID: 19346264 Amount of Each Receipt this Period C 77.00 Aggregate Year-to-Date ▼	FEC ID number of contributing		Amount of Each Receipt this Period
City State Zip Code New York NY 10271-3599 FEC ID number of contributing federal political committee. Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify) ▼ Other (specify) ▼ Primary General Other (specify) ▼ Page 269.22 Date of Receipt M M M / D D D / Y Y Y Y Y O D D O B Aggregate Year-to-Date ▼ Page 369.22 Date of Receipt Transaction ID: 19346264 Amount of Each Receipt this Period 77.00 Aggregate Year-to-Date ▼ Aggregate Year-to-Date ▼	Financial Mark Receipt For:	Managing Director, Associate Genera	
Mailing Address 120 Broadway 35th Floor City New York FEC ID number of contributing federal political committee. Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify) ▼ Date of Receipt M M M O 0 8 / 2 6 / 2 0 1 1 Transaction ID: 19346264 Amount of Each Receipt this Period 77.00 Aggregate Year-to-Date ▼ 847.00		269.22	
35th Floor City New York FEC ID number of contributing federal political committee. Name of Employer Securities Industry and Financial Mark Receipt For: Primary Other (specify) 35th Floor State Zip Code NY 10271-3599 C C Transaction ID: 19346264 Amount of Each Receipt this Period 77.00 Aggregate Year-to-Date 847.00	, , , , , , , , , , , , , , , , , , , ,		Date of Receipt
New York FEC ID number of contributing federal political committee. Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify) ▼ Amount of Each Receipt this Period 77.00 Amount of Each Receipt this Period 77.00 Amount of Each Receipt this Period 77.00	35th Floor		08 26 2011
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Securities Industry and Financial Mark Receipt For: Primary General Other (specify) Other (specify)	FEC ID number of contributing		Amount of Each Receipt this Period 77.00
Primary General Other (specify) ▼ 847.00	Securities Industry and Financial Mark	Managing Director, DOR	
	Primary General		
SUBTOTAL of Receipts This Page (optional)	SUBTOTAL of Receipts This Page (options	al)	196.23

SCHEDULE A (FEC Form 3X)			FOR LINE NUMBER: PAGE 18 / 22
ITEMIZED RECEIPTS	for each	parate schedule(s) category of the Summary Page	(check only one) X 11a 11b 11c 12 13 14 15 16 17
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NAME OF COMMITTEE (In Full) Securities Industry and Financial Marke	s Association Politic	cal Action Committe	ee
Full Name (Last, First, Middle Initial) Ms. Cheryl Crispen Mailing Address 1101 New York Ave, NV City	/ State Zip Co	ode	Date of Receipt M M M
Washington FEC ID number of contributing federal political committee.	C	i-4213	Amount of Each Receipt this Period 96.15
Name of Employer Securities Industry and Financial Mark Receipt For: Primary Other (specify) General	Occupation Executive Vice Pre Aggregate Year-to-Da	esident, Communicate 1634.55	at o

SUBTOTAL of Receipts This Page (optional)	•	96.15
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SCHEDULE A (FEC Form 3X) TEMIZED RECEIPTS	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 19 / 22 (check only one) 11a 11b 11c 12 13 14 15 16 17 17
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NAME OF COMMITTEE (In Full) Securities Industry and Financial Market	ets Association Political Action Committe	ee
Full Name (Last, First, Middle Initial) Securities Industry and Financial Markets Associa Mailing Address 120 Broadway Floor 35	tion	Date of Receipt M M / D D / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
City	State Zip Code	Transaction ID: 19334342
New York FEC ID number of contributing federal political committee.	NY 10271	Amount of Each Receipt this Period 71.61
Name of Employer	Occupation	
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 1172.85	Reimbursement of Bank Fees

SUBTOTAL of Receipts This Page (optional)	>	71.61
TOTAL This Period (last page this line number only)	•	71.61

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District: 09

SCHEDULE B (FEC Form 3X) ITEMIZED DISBURSEMENTS	Use separate schedule(s) (check			
I EMIZED DISBURSEMEN I S	Detailed Summary Page		22 X 23 24 25 26 28a 28b 28c 29 30b	
Any Information copied from such Reports and Stater or for commercial purposes, other than using the nam				
NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets	Association Political Action (Committee		
Full Name (Last, First, Middle Initial) Fitzpatrick For Congress			Transaction ID: 19304998 Date of Disbursement	
Mailing Address 115 North Broad Street			$\begin{bmatrix} \begin{smallmatrix} M & M \\ D & M \end{smallmatrix} \end{bmatrix} / \begin{bmatrix} \begin{smallmatrix} D & D \\ D & d \end{smallmatrix} \end{bmatrix} / \begin{bmatrix} \begin{smallmatrix} Y & Y & Y & Y \\ D & D & I \end{bmatrix} $	
City Doylestown	State Zip Code PA 18901		Amount of Each Disbursement this Period	
Purpose of Disbursement Contribution		011	1000.00	
Candidate Name Rep. Michael Fitzpatrick		ategory/ Type		
	ement For: 2012 Primary General Other (specify)	C	Contribution	
State: PA District: 08				
Full Name (Last, First, Middle Initial) David Weprin For Congress			Fransaction ID: 19332817 Date of Disbursement	
Mailing Address 72-50 Austin Street Sec	ond Floor		08	
City Forest Hills	State Zip Code NY 11375		Amount of Each Disbursement this Period	
Purpose of Disbursement Contribution		011	2500.00	
Candidate Name Mr. David Weprin		ategory/ Type		
	ement For: 2012 Primary General Other (specify)	C	Contribution	

SUBTOTAL of Disbursements This Page (optional)	•	3500.00
TOTAL This Period (last page this line number only)	•	3500.00

State: NY

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SCHEDULE B (FEC Form 3X)	Use separate schedule(s)	FOR LINE	NUMBER: PAGE 21 / 22
TEMIZED DISBURSEMENTS	for each category of the Detailed Summary Page	X 21b 27	22 23 24 25 26 28a 28b 28c 29 30b
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NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets	Association Political Action	Committee	3
Full Name (Last, First, Middle Initial) PNC Bank			Transaction ID: 19344186 Date of Disbursement
Mailing Address 1400 K Street, NW			08 0 5 7 2 0 1 1
City Washington	State Zip Code DC 20005		Amount of Each Disbursement this Period
Purpose of Disbursement Bank Fees	20000	001	25.34
Candidate Name		001 Category/ Type	
Office Sought: House Disburs Senate President State: District:	ement For: Primary General Other (specify) ▼		Bank Fees
Full Name (Last, First, Middle Initial)			Transaction ID: 19344188
PNC Bank			Date of Disbursement
Mailing Address 1400 K Street, NW			$\begin{bmatrix} \begin{smallmatrix} M & M \\ O & R \end{smallmatrix} \end{bmatrix} \ / \ \begin{bmatrix} \begin{smallmatrix} D & D \\ O & Z \end{smallmatrix} \end{bmatrix} \ / \ \begin{bmatrix} \begin{smallmatrix} Y & Y & Y & Y \\ Z & O & 1 & 1 \end{smallmatrix} \end{bmatrix}$
City Washington	State Zip Code DC 20005		Amount of Each Disbursement this Period
Purpose of Disbursement Bank Fees		001	27.48
Candidate Name		Category/ Type	
Senate President	ement For: Primary General Other (specify)		Bank Fees
State: District: Full Name (Last, First, Middle Initial)			Transaction ID: 19344189
PNC Bank			Date of Disbursement
Mailing Address 1400 K Street, NW			$\begin{bmatrix} \begin{smallmatrix} M \\ O \end{smallmatrix} B^{M} \end{bmatrix} / \begin{bmatrix} \begin{smallmatrix} D \\ O \end{smallmatrix} D^{D} \end{bmatrix} / \begin{bmatrix} \begin{smallmatrix} Y \\ Z \end{smallmatrix} O \end{smallmatrix} 1^{Y} 1^{Y} \end{bmatrix}$
City Washington	State Zip Code DC 20005		Amount of Each Disbursement this Period
Purpose of Disbursement Bank Fees	I	001	15.13
Candidate Name		Category/ Type	
Senate President	ement For: Primary General Other (specify)	Ni	Bank Fees
State: District:	·		

TOTAL This Period (last page this line number only)

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\rangle	NAME OF COMMIT Securities Industr	,	Markets A	ssociatio	n Political Act	tion C	Con	nmitte	е									
	PNC Bank Mailing Address	st, Middle Initial) 1400 K Street,	NW							Date o		sburs	eme	9344 ent		0 1 1	Y	
	City Washington Purpose of Disburse	ement	_	State DC	Zip Code 20005			. 1		Amou	nt of	Each	Dis	burser	men	t this F	-	d
	Bank Fees Candidate Name					Ca	00 [.] ateg Typ	ory/										
	Office Sought:	House Senate President	Disburser	nent For: Primary Other (spe	General					Bank	Fee	S						

SUBTOTAL of Disbursements This Page (optional)	•	3.66
TOTAL This Period (last page this line number only)		71.61